

**U.S. Department of Education  
Office of Postsecondary Education  
Washington, DC 20006**



**APPLICATION FOR A SUPPLEMENT UNDER THE  
UPWARD BOUND (UB)  
INITIATIVE  
(CFDA Numbers: 84.047A)**

**Form Approved  
OMB No. 1840 - 0550, Exp. Date 03/31/2001  
ED Form 40-2P  
Closing Date: 8/28/2000**

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THE BUDGET SUMMARY SHEET (PART II) IS INSERTED AT THE BACK OF THIS APPLICATION PACKAGE.

If you do not find the forms, please fax your mailing address to the Federal TRIO Programs on (202) 502-7857 or telephone (202) 502-7600.

Dear Upward Bound Grantee:

Enclosed is the application package for a supplement under the Upward Bound (UB) Participant Expansion Initiative. It contains the necessary forms and instructions. Also included is a copy of the "Absolute Priority" for this new initiative. Please review the application package carefully before preparing and submitting your application. Pay particular attention to the proposed federal priority for this initiative, the description of this initiative, and the requirements for the section. Please include a transmittal letter with the signature of the authorized representative and the current grant award number (P047A).

Eligible applicants include existing Upward Bound projects serving target high schools in which at least 50 percent of the students are eligible for the Free Lunch Program under the National School Lunch Act. All Upward Bound grantees, with the exception of the Veterans Upward Bound and Upward Bound Math/Science projects, are eligible for the supplemental grant. Grantees with multiple UB grants are eligible for multiple supplements. The length of the Upward Bound Initiative for currently funded four-year grantees will be for three years; and for five-year grants it will be for four years. This supplemental grant will be for the period September 1, 2000 through August 31, 2001.

All applicants must submit information on the target schools, a revised budget reflecting a supplemental amount of up to \$85,600, the number of additional students to be served, which is a maximum of twenty, and a brief narrative explaining how the additional funds will be used. The Secretary encourages projects that receive supplemental funds to enhance their recruitment strategies and services to select and serve students who are at the greatest risk of not graduating from high school or pursuing postsecondary education, and therefore, have the greatest need for the Upward Bound services.

A separate application is required for each project. The application for the supplement must be postmarked or hand-delivered on or before August 28, 2000. Applications that are mailed should be sent to:

U.S. Department of Education  
Application Control Center  
Attention: (UB CFDA #84.047A)  
400 Maryland Avenue, SW  
Washington, DC 20202-4725

Applications submitted late will not be accepted.

For additional information, please contact Peggy J. Whitehead of the Office of Federal TRIO Programs, U.S. Department of Education, 1990 K Street, N.W. Suite 7000, Washington, DC 20006-8510, ATTN: CFDA 84.047A, telephone (202) 502-7600 Internet at [TRIO@ED.GOV](mailto:TRIO@ED.GOV).

Best regards,

Claudio R. Prieto  
Deputy Assistant Secretary  
for Higher Education Programs

4000-01-U  
DEPARTMENT OF EDUCATION

CFDA No: 84.047A

Office of Postsecondary Education, Upward Bound Program  
Participant Expansion Initiative

Notice Inviting Applications for Supplemental Awards for  
Fiscal Year (FY) 2000

PURPOSE OF PROGRAM: The Upward Bound Program Participant  
Expansion Initiative is designed to increase the number of  
the neediest eligible students in the Upward Bound program.

ELIGIBLE APPLICANTS: All currently funded Upward Bound  
projects. Veteran Upward Bound projects and Upward Bound  
Math/Science projects are not eligible to participate.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: August 28, 2000.

DEADLINE FOR INTERGOVERNMENTAL REVIEW: September 12, 2000.

APPLICATIONS AVAILABLE: July 26, 2000.

AVAILABLE FUNDS: \$13,500,000.

ESTIMATED RANGE OF AWARDS: Up to \$85,600.

ESTIMATED AVERAGE SIZE OF AWARDS: \$76,270.

ESTIMATED NUMBER OF AWARDS: 157-177.

Note: The Department is not bound by any estimates in  
this notice.

PROJECT PERIOD: Up to 36 months for current 4-year grantees; up to 48 months for current 5-year grantees.

APPLICABLE REGULATIONS: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 74, 75, 77, 79, 82, 85, 86, 97, 98, and 99; and (b) the regulations for this program in 34 CFR part 645.

SUPPLEMENTARY INFORMATION: Only proposals that meet the absolute priority will be funded. If more applications that meet the absolute priority are received than can be funded under the Upward Bound Program Participant Expansion Initiative, the Secretary will fund those applicants that received the highest average peer review scores during the FY 1999 Upward Bound competition. For the purposes of this initiative, the Secretary will not consider prior experience points.

Applicants for supplemental awards must submit an application that contains:

- ◆ a certification by the Upward Bound project director that at least one target high school meets the absolute priority;
- ◆ the number of additional students, not to exceed 20,

that the project plans to serve;

- ◆ a revised budget; and
- ◆ a brief narrative describing how the supplemental funds will be used.

PRIORITIES:

Absolute Priority: Under 34 CFR 75.105(c)(3), the Secretary gives an absolute preference to applications that meet the following priority, which is published elsewhere in this issue of the Federal Register. The Secretary funds only applications that meet this absolute priority:

A project funded under this priority must serve a target high school in which at least 50 percent of the students were eligible for the Free Lunch Program during the 1998-99 school year.

Invitational Priority: Within the absolute priority specified in this notice, the Secretary is particularly interested in applications that meet the following invitational priority. However, under 34 CFR 75.105(c)(1) an application that meets this invitational priority does not receive competitive preference over other applications.

The Secretary strongly encourages projects that receive supplemental funds to enhance their recruitment strategies and services to target high schools to select and serve students who are at greatest risk of not graduating from high school or pursuing postsecondary education.

FOR APPLICATIONS OR INFORMATION CONTACT: Peggy Whitehead, Sheryl Wilson, or Gaby Watts, U.S. Department of Education, 1990 K Street, NW, Room 7020, Washington, DC 20006-8510. Telephone (202) 502-7600. The email address for The Office of Federal TRIO Programs is:

Trio@ed.gov

The email addresses for Ms. Whitehead, Ms. Wilson and Ms. Watts are:

Peggy\_Whitehead@ed.gov

Sheryl\_Wilson@ed.gov

Gaby\_Watts@ed.gov

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service (FIRS) at 1-888-877-8339.

Individuals with disabilities may obtain this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact persons listed in the preceding paragraph. However, the Department is not able to reproduce in an alternate format the standard forms included in the application package.

Electronic Access to this Document

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<http://ocfo.ed.gov/fedreg.htm>



<http://www.ed.gov/news.html>

To use PDF you must have Adobe Acrobat Reader which is available free at either of the previous sites. If you have questions about using the PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

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<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 1070.

Dated:

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A. Lee Fritschler,  
Assistant Secretary  
Office of Postsecondary Education.

4000-01-U

DEPARTMENT OF EDUCATION

Upward Bound Program Participant Expansion Initiative

AGENCY: Office of Postsecondary Education, Department of Education.

ACTION: Notice of Final Priority.

SUMMARY: The Secretary of Education announces an absolute priority to provide supplemental funds of up to \$85,600 in fiscal year (FY) 2000 to currently funded Upward Bound projects that serve at least one target high school in which at least 50 percent of the students were eligible for a free lunch under the National School Lunch Act (Free Lunch program) during the 1998-1999 school year.

The purpose of this priority is to increase the number of the neediest eligible students who are served by the Upward Bound program. The neediest students are generally those from the lowest income levels. The Secretary believes that limiting supplemental funds to projects that serve the above-described target high schools is a good way to measure whether projects serve the lowest income students because the Free Lunch program is limited to students from families with the lowest family income.

Under this priority, supplemental funds of up to \$85,600 will be made to currently funded Upward Bound program projects. An estimated 157-177 current Upward Bound projects could each receive supplemental funds to serve up to 20 additional students.

Projects that receive supplemental funds under this priority are strongly encouraged to select eligible participants who have the greatest need for Upward Bound services.

EFFECTIVE DATE: This priority is effective 30 days after the date of publication in the Federal Register.

FURTHER INFORMATION CONTACT: Peggy Whitehead, Sheryl Wilson, or Gaby Watts, U.S. Department of Education, 1990 K Street, NW., Room 7020, Washington, DC 20006-8510. Telephone (202) 502-7600. The email address for The Office of Federal TRIO Programs is:

Trio@ed.gov

The email addresses for Ms. Whitehead, Ms. Wilson and Ms. Watts are:

Peggy\_Whitehead@ed.gov

Sheryl\_Wilson@ed.gov

Gaby\_Watts@ed.gov

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339.

Individuals with disabilities may obtain this document in an alternate format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact persons listed in the preceding paragraph.

SUPPLEMENTARY INFORMATION:

The Secretary of Education published a notice of proposed priority in the Federal Register on June 1, 2000 (65 FR 35238-35239).

In FY 2000, the Congress provided more funds than the Administration requested for the Federal TRIO Programs. In examining the options available to the Secretary for allocating these additional funds, the Secretary determined that a portion of the funds should be used to increase support to the Upward Bound program. The Upward Bound program, authorized under section 402C of the Higher Education Act of 1965 as amended (HEA), 20 U.S.C. 1070a-13, serves low-income, potential first-generation, college students by helping them generate the skills and motivation necessary for success in education beyond secondary school.

ANALYSIS OF COMMENTS AND CHANGES: In response to the Secretary's invitation in the notice of proposed priority, nine parties submitted comments on the proposed priority. An analysis of the comments and of any changes in the priority since publication of the notice of proposed priority follows.

#### Target School Eligibility and Date of Eligibility

Comments: One commenter recommended that free lunch eligibility be determined for the school district rather than the target high schools. One commenter recommended the use of 1998-1999 school year data rather than 1999-2000 school year data, since the 1999-2000 data will not be available until October 2000. Two commenters recommended use of the eligibility rate for the county or specified service area for free lunch or public benefits such as AFDC.

Discussion: Upward Bound projects serve target high schools that are not necessarily within the same school district since the target areas do not have to be contiguous. Upward Bound projects also serve target high schools in different counties and States. Therefore, it is easier for most Upward Bound projects to collect data from the specific target high school and certify that the target

high school meets the free lunch criterion, which requires eligibility for the Free Lunch program, not participation in the Free Lunch program. AFDC benefits are individual records and collection of AFDC information for a target high school would be difficult. The Secretary accepts the suggestion that the data should be collected for school year 1998-1999. In many areas, the data for school year 1999-2000 may not be readily available.

Changes: The Free Lunch program data will be collected for the 1998-1999 school year.

#### Low-Income First-Generation Criteria

One commenter suggested the Secretary use the low-income first-generation criteria rather than 50 percent Free Lunch program eligibility for the priority.

Discussion: All participants who receive services under the priority must meet the eligibility requirements for Upward Bound, which already require that participants be low-income or potential first-generation college students.

Changes: None.

#### Free Lunch Criterion

Comments: One commenter supported the use of the free lunch statistics as an indicator of high need of students for the Upward Bound program. The commenter also questioned if other possible indicators might be used. Another commenter recommended the use of actual income of the families of students enrolled in the target high schools as the measure of need for expanded services. The commenter did not recommend an income threshold to make that determination.

Discussion: The Secretary believes that the use of the Free Lunch criterion coupled with the requirement that Upward Bound participants are generally from low-income families is sufficient to target these supplemental grant funds to the right grantees.

With regard to the use of family income, schools do not know the family income of their students so the commenter's suggestion is not practical.

Changes: None.

Comments: Another commenter recommended that the concept of free or reduced lunch be used as the eligibility criterion for the initiative.

Discussion: The priority is designed to increase the number of the neediest eligible students who are served by the Upward Bound program. The neediest students are

generally those from the lowest income levels. The low-income eligibility requirement for students to participate in Upward Bound is a family income that does not exceed 150 percent of the poverty level established by the Bureau of the Census. In contrast, the Reduced Lunch program and Free Lunch program eligibility requirements are set at 185 percent and 130 percent of the poverty level, respectively. Therefore, the Reduced Lunch program has a higher income threshold than the Upward Bound program and would not be useful for targeting the lowest income students. The Secretary believes that limiting supplemental funds to projects that serve target high schools with 50 percent or higher of the students in the Free Lunch program is a good way to measure whether projects serve the lowest income students. The Free Lunch program is limited to students from families with the lowest family income.

#### Rationale for the Priority

Comments: One commenter questioned the need for the priority. The commenter recommended allocating the funds to all existing Upward Bound projects to support student stipends, work study components, increase staff, and support technology skills.



Discussion: The priority is designed to increase the number of the neediest students participating in the Upward Bound program.

Changes: None.

#### Cost Per Participant

Comments: One commenter questioned if additional students would be funded at the current per student participant rate, since costs vary among projects.

Discussion: The priority is designed to serve up to 20 additional students at a cost of up to \$85,600. Since the priority is geared to serving the neediest students, costs may be higher than the current per student participant rate. This would be determined by the types of additional services and activities to be provided.

Changes: None.

#### Participation of Target High Schools

Comments: One commenter questioned whether students enrolled in target high schools, that were included in a grantee's initial application but that are not currently being served, can receive services under this supplemental initiative.

Discussion: Yes, a student enrolled in any target high school included in the grantee's Upward Bound application, that was submitted on or before October 30, 1998 would be eligible to participate.

Changes: None.

#### Page Limitations

Comments: One commenter questioned the existence of a page limit for the narrative that accompanies the revised budget.

Discussion: The priority provides for supplemental funding to expand the current projects. Therefore, only a brief narrative is needed to describe the activities to be provided with the additional funding.

Changes: None.

#### Support for the Priority

Comments: Three commenters expressed support of the priority.

Discussion: No changes were recommended.

Changes: None.

PRIORITY:

Absolute Priority:

Under 34 CFR 75.105(c)(3), the Secretary gives absolute preference to applications that meet the following priority. The Secretary funds only applications that meet this absolute priority:

A project funded under this priority must serve a target high school in which at least 50 percent of the students were eligible for the Free Lunch program during the 1998-1999 school year.

Invitational Priority:

Within the absolute priority specified in this notice, the Secretary is particularly interested in applications that meet the following invitational priority. However, under 34 CFR 75.105(c)(1) an application that meets this invitational priority does not receive competitive preference over other applications.

The Secretary strongly encourages projects that receive supplemental funds to enhance their recruitment strategies and services to target high schools to select and serve students who are at greatest risk of not graduating from high school or pursuing postsecondary education.

Intergovernmental Review

This program is subject to Executive Order 12372 and the regulations in 34 CFR part 79. One of the objectives

of the Executive order is to foster an intergovernmental partnership and a strengthened federalism. The Executive order relies on processes developed by State and local governments for coordination and review of proposed Federal financial assistance.

This document provides early notification of our specific plans and action for the program.

APPLICABLE PROGRAM REGULATIONS: 34 CFR part 645

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the Code of Federal Regulations is available on GPO Access  
at:

<http://www.access.gpo.gov/nara/index.html>

(Catalog of Federal Domestic Assistance Number: 84.047A)

PROGRAM AUTHORITY: 20 U.S.C. 1070.

Dated:

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A. Lee Fritschler,  
Assistant Secretary  
Office of Postsecondary Education.

## Instructions for Completing the Application and Forms

The application package is divided into two parts.

The parts are as follows:

Part II: Budget Summary and Instructions (also include detailed Budget Narrative)

Part III: Program Narrative (Plan of Operation, Letters of Assurance from Target Schools)

Please submit your application in the same manner that it is organized.  
Submit the **original** and **two copies** of the application to:

U.S. Department of Education

Application Control Center  
Attention: (UB CFDA #84.047A)  
400 Maryland Avenue, SW  
Washington, DC 20202-4725

According to the Paperwork Reduction Act of 1995, any collection of information must display a valid OMB control number. The valid OMB control number for this information collection is 1840-0550. The time required to complete this information collection is estimated to average 30 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments concerning the accuracy of this time estimate or suggestions for improving this form, please write to the U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of the form, write directly to: Office of Federal TRIO Programs, U.S. Department of Education, 1990 K Street NW, Suite 7000, Washington, DC 20006-8510.

**NOTE: IF POSSIBLE, PLEASE SUBMIT YOUR APPLICATION PRIOR TO THE CLOSING DATE OF AUGUST 28, 2000. THIS WILL ASSIST US IN REVIEWING YOUR REQUEST AND IN GENERATING THE SUPPLEMENTS.**

## Part I I -- Budgetary Documents

### Section A -- Budget Summary

See the budget form entitled, "Budget Summary: U.S. Department of Education Funds" (ED Form 872, 40-65).

- A. **Personnel:** Enter project personnel salaries and wages only.
- B. **Fringe Benefits:** The institutions normal fringe benefit contribution may be charged to the program. If benefits exceed twenty percent (**20%**), an explanation and justification must be provided. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.
- C. **Travel:** Indicate travel of employees only. Travel of consultants and participants may not be included in this category, but should be included in the "Other" category on line E.
- D. **Supplies:** Show all tangible personal property except that which is included on line H.
- E. **Other:** Indicate all direct costs not covered in lines A-D or H-L. Examples are equipment rental, consultant costs, communication costs, rental of space (when not included in the indirect cost pool), and consultant and participant travel.
- F. **Total Direct Costs:** The sum of lines A-E. This is the modified total direct cost base, which excludes the following items:
- equipment (i.e., equipment of \$5,000 or more per unit)
  - room and board
  - summer non-residential meals
  - tuition and related fees, and
  - training stipends for students
- G. **Indirect Costs:** Indirect costs are limited to eight percent (**8%**) of a modified total direct cost base -- see 34 CFR 75.562(c). (*Exception: Federally recognized Indian Tribes, tribal governments, and agencies of State or local governments, including LEAs (school districts) may exceed the 8% limit on indirect costs.*)

- H. **Equipment:** Indicate the cost of non-expendable personal property which has a usefulness of greater than one year and an **acquisition cost of \$5,000 or more per unit.** (See the definition of equipment under 34 CFR 74.2.) Lower limits may be established to maintain consistency with the applicant's policy.
- I. **Training Stipends:** Include student stipends. See the program regulations, 34 CFR 645.42(d), which establishes stipend amounts.
- J. **Tuition and Related Fees**
- K. **Room and Board:** For projects with a residential component.
- L. **Summer Non-residential Meals**
- M. **Total Costs:** This should equal the sum of lines F through L. This amount should also be equal to item **14a** on the application face sheet.



## Part III -- Program Narrative

The program narrative should provide a brief description of the activities that will be provided with the additional funding. Activities should be designed to meet the educational needs of the participants selected. The participants who are selected should be the neediest eligible students who may be served by Upward Bound.

### Target School Assurances

**Please list the target schools that meet the eligibility requirement for the supplement. The Project Director must certify that at least 50% of the students enrolled in the target schools are eligible for the Free Lunch Program under the National School Lunch Act. Only one letter must be sent for all target schools served.**